

# GATEWAY HOW TO: MONTHLY & ANNUAL UPLOADS

2020 Newly Elected Auditor Training



1



STATE BOARD OF ACCOUNTS 302 WEST WASHINGTON STREET ROOM E418 INDIANAPOLIS, INDIANA 46204-2769

Telephone: (317) 232-2513 Fax: (317) 232-4711 Web Site: www.in.gov/sboa

#### AMENDED STATE EXAMINER DIRECTIVE 2018-1

Date: November 9, 2020

Subject: Monthly and Annual Engagement Uploads
Authority: IC 5-11-1-2, -4, -9, -10, -21, -24

Application: This Directive applies to all local governmental units

From: Paul D. Joyce, CPA, State Examiner

The purpose of this Directive is to provide guidelines for the use of the "Indiana Gateway for Government Units" application entitled "Monthly and Annual Engagement Uploads" (Engagement Uploads). The Engagement Uploads provide a more efficient and cost-effective audit process for governmental units.

This amended directive is effective starting with December 2020 monthly files. The upload of December 2020 monthly files will be due February 15, 2021, and by the 15° of each month thereafter unless the State Board of Accounts (SBOA) establishes a different date. This is effective for 2020 annual files which will be due for upload March 1, 2021, for calendar year end units. For schools and outst-curricular accounts, this is effective for year ending June 20, 2021, which will be due August 29, 2021. Thereafter, annual files must be effective for year ending June 20, 2021, which will be due August 29, 2021. Thereafter, annual files must be accounted to the proof of the proof

All counties, cities, towns, townships, libraries, schools and special districts will use the Engagement Uploads to upload fles containing financial and governmental unit information on Gateway to allow the SBOA to conduct audit planning and audit processes prior to on-site work at a unit. This remote process will provide for more efficient data processing and save audit costs for our clients.

A user guide for the Engagement Uploads is available and located at: <a href="https://lateway.ribonline.org/userguides/engagementguide">https://lateway.ribonline.org/userguides/engagementguide</a> it is pertinent that this user guide be used in confunction with this Direction. It provides critical information to you that will halo quide you to unleading.



# STATE EXAMINER DIRECTIVE 2018-1

AMENDED





# **GETTING STARTED**

#### Ω Access:

- Email <u>Gateway@sboa.in.gov</u>
  - 1.Name
  - 2.Position Elected & Unit Name
  - 3.1st Day of Term
  - 4. Outgoing Officials Name
  - 5. Outgoing Officials Email (If known)
  - 6. Outgoing Officials last Day of Term



3

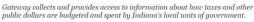
# **LOGIN**

https://gateway.ifionline.org/default.aspx





















Access local expenditures When is your budget hear

ADOUT Gateway • Contact US

dection platform for local units of government to submit required data to the State of Indiana, as well as a public access tool for citizens. It
also of Indiana and the Indiana Business Essearch Center at It'D Kerley School of Euromess, with initial support from the Lifty Endowment and

state agencies currently include the Department of Local Government Enance. The State Board of Accounts: the Indiana Education Employment Relations Board, the Indiana Gamino Commission addor.



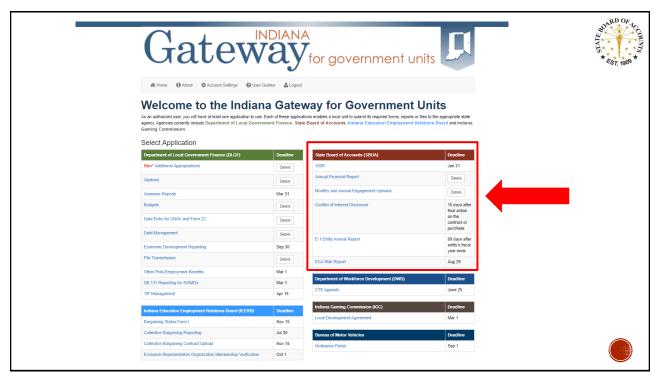


# FORGOT YOUR PASSWORD?





- Ω If you forgot your password, you can use the "Forgot your password?" link. All you will need is your Username (email address) to reset it your self.
- Ω Once you reset your password you will receive an email from <u>ibrctech@iupui.edu</u> with your new password.

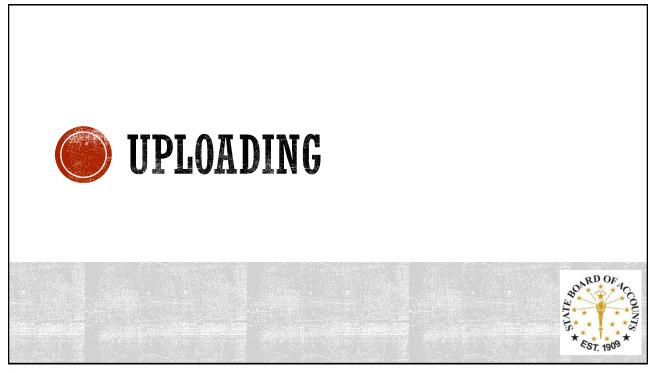


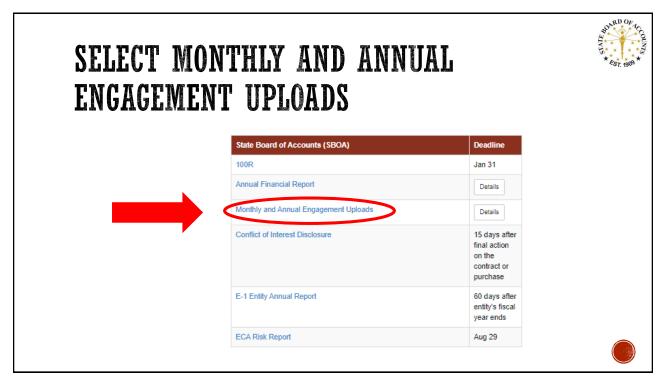
# USER GUIDE

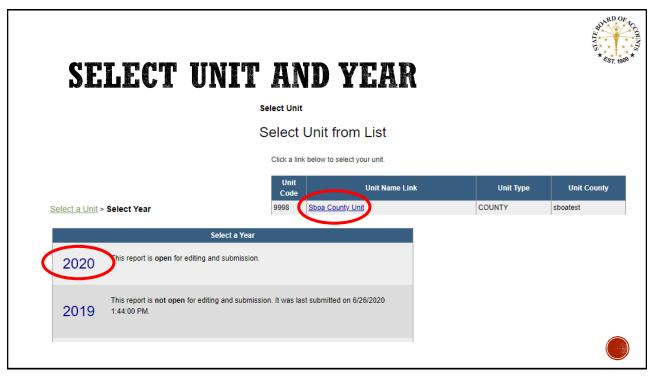


### $\Omega$ User Guide Link:

https://gateway.ifionline.org/userguides/100Rguide









# REQUIRED MONTHLY UPLOADS

# Ω Approved Board Minutes

 All boards and commissions that could have a financial impact on the county as a whole

## ΩFunds Ledger

 A report that shows the beginning balance, total receipts, total disbursements and ending balance of each fund as of the end of the month.

# ΩDocumentation of Reconciliation of Form 61 between Auditor & Treasurer

 Monthly comparison, notation of variances, and reconciliation of each fund between the auditor's ledger and the treasurer's ledger.





# REQUIRED ANNUAL UPLOADS

- Ω Detail of Receipt Activity
- Ω Detail of Disbursement Activity
- $\Omega$  Current Year Salary Ordinance
- $\Omega$  Annual Vendor History Report
- $\Omega$  Annual Funds Ledger
- Ω Annual Payroll History Report
- ΩOPTIONAL Data Capture of Receipts & Disbursements



13

# TO UPLOAD A DOCUMENT

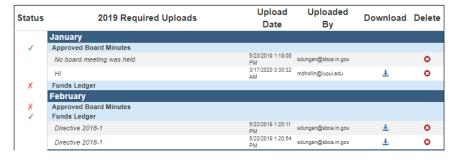


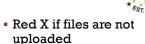


- SELECT UPLOAD GROUP MONTH OR ANNUAL
- SELECT FILE TYPE TYPE OF FILE YOU ARE UPLOADING
- CHOOSE FILE FIND FILE YOU WANT TO UPLOAD ON YOUR COMPUTER
- SUBMIT SUBMIT FILE YOU WISH TO UPLOAD



# UPLOADED FILE STATUS





- Green check mark if files have been uploaded
  - · File Name
  - Date Uploaded
  - Who uploaded the document
- You can download the document or view it from the screen
- You can also delete the file by hitting the circle with a red x, if you have uploaded the incorrect file

15

# **SUBMISSION** DEADLINES

- January monthly files March 15th
- February monthly files April 15th
- March monthly files May 15th
- April monthly files June 15th
- · May monthly files July 15th
- June monthly files- August 15th
- July monthly files-September 15th
- August monthly files—October 15th
- September monthly files

   November 15th
- October monthly files
   December 15th
- November monthly files- January 15th
- December monthly files—February 15th
- Annual files March 1st for all other units









# WHAT IS A DIRECT REQUEST

- Ω Any documents that you must upload in addition to the Monthly and Annual Uploads are called Direct Request Uploads.
- $\Omega$  You will receive an email requesting the document to upload.
- $\Omega$  This would occur during the audit process.



# Monthly and Annual Engagement Uploads Use the form below to find and upload documents required for audit support. Note: This information is for the State Board of Accounts internal use only and will not be made available on the Gateway Public site. Description of the desired file Allow a link instead of a file Detailed Instructions Save Add Request File Upload Status: The current upload status is viewable in the table below. Any objects with a red X need to be uploaded. To view a previous upload, click on the download icon in the table. To delete a previous upload, click on the delete icon for that record in the status table. To upload new files: Select which set of files need to be uploaded using the Select Upload Group dropdown. Next, select the specific file from the Select File Type dropdown on the right. The user will be able to upload files using the Browse and Upload buttons in the Provide File section. In some

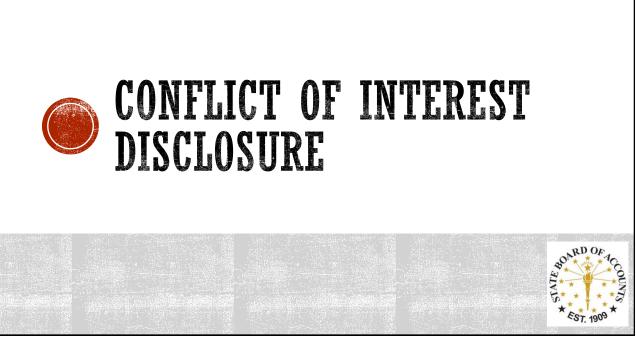
To complete the entry: Click on the button marked Submit. The status table will be updated. Multiple files may be uploaded for each Upload Group and File Type. If a file needs to be reloaded, the user should delete that file from the status table first.

cases, an option will appear in the Provide File section allowing a user to provide a link instead of uploading a file. To do this, select the Web Link

option and paste the link in the textbox labeled Provide Link.



19



# SELECT CONFLICT OF INTEREST DISCLOSURE







21

# CONFLICT OF INTEREST DISCLOSURE



- OAnyone with a username and password can upload a Conflict of Interest Disclosure
- ΩUniform Conflict of Interest Disclosure Statement –
- ΩComplete the Upload Disclosure Form
  - Name of person filing the disclosure
  - Email address of person filing the disclosure
  - Government Entity
    - County
    - Unit Type
    - Unit Name
  - Upload PDF

# Conflict of Interest Disclosure Statement Upload Tool The legal requirement for filing disclosures of conflict of interest can be found in the Indiana Code in Title 35 Section 44.1-1-4 (IC 35-44.1-1-4) available at

The legal requirement for thing ascosures or comic of interest can be found in the indianal code in line 35 Section 44.1-1-4 (0.35-44.1-1-4) avalance at http://iii.ga.in.gov/legislative/laws/2014/fict/titles/035/articles/44.1 (if you have any questions reparding this law or disclosure, you should contact your attorney for legal advice.

Persons required to file this disclosure with the State Board of Accounts (SBOA) can use the form available at <a href="https://fiorms.in.gov/Download.aspx?id=8264">https://fiorms.in.gov/Download.aspx?id=8264</a>. Once you have filled out the form, scan it as a pdf and upload using the tool below. If the Conflict of Interest is on multiple pages, all pages must be in one file, in order and in the correct orientation so that it is

NOTE: All conflict of interest disclosure forms are reviewed internally to verify they are in an acceptable file format before being published to Gateway. Please allow one business day for them to appear on the Conflict of Interest Disclosure Uploads Report. Neither IBRC nor SBOA review the documents for content. It is the responsibility of the user to verify that the document that was submitted is correct and complete.

#### Upload Disclosure Form

Name of person r Email address of Government Entit	person required			re:	
Select county	▼ Select	unit type	•	Select unit	•
Upload PDF:	Brows				

